

COMMUNITY CARE LICENSING DIVISION

*"Promoting Healthy, Safe and
Supportive Community Care"*

TECHNICAL SUPPORT PROGRAM

Self-Assessment Guide

RESIDENTIAL CARE FACILITY FOR THE ELDERLY ADMINISTRATIVE ASSESSMENT



**TECHNICAL SUPPORT PROGRAM
RESIDENTIAL CARE FACILITY FOR THE ELDERLY
ADMINISTRATIVE ASSESSMENT**

The administrative assessment tool is designed to assist licensees and facility staff to perform periodic self-assessments of a facility's operation. The assessment is comprised of some of the most common deficiencies noted by Licensing Program Analysts during their evaluation visits. It is not an exhaustive list or a full summary of regulations relating to the operation of facilities. ***It cannot be used as a substitute for having a good working knowledge of the regulations.***

The items on this list summarize regulations and other conditions which commonly lead to citations. Licensees should refer to the referenced regulation(s) for more complete information on these requirements. Items contained in this tool which have an asterisk (*) are not required by licensing regulation. They are, however, recommended practices that can assist licensees to avoid situations which may lead to violations.

The assessment should be used periodically to review the facility's performance in a variety of areas to identify and correct deficiencies and to identify areas of weakness in the facility's operation and staff training needs. It can also be used as a training tool to familiarize staff with basic Licensing requirements. Facilities may wish to add items to the form which have historically been problem areas for their operations or to implement program standards that exceed Licensing requirements.

MEDICATIONS

MET NOT MET

- | | | | |
|--------------------------|--------------------------|-----|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | All centrally stored medications (including over-the-counter medicines and medications stored in the refrigerator) are locked. 87575(h)(2) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Medications are maintained in compliance with label instructions. (Room temperature, refrigerated, etc.) 87575(h)(4) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | There are no expired medications (including over-the-counter medications). 87575(i) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | There are no medications for former residents in the facility. 87575(i) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | There are no permanently discontinued medications in the facility. 87575(i) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Each prescription medication has been logged in a centrally stored medication record. 87575(h)(6) |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. | Destroyed prescription medications are logged in a centrally stored medication record. 87575(i) |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. | Residents are assisted with medications according to label/physician instructions. 87575(a)(1)(6) |
| <input type="checkbox"/> | <input type="checkbox"/> | 9. | Syringes and needles are immediately discarded into an appropriate container (i.e. a container for sharps), and the container is locked and inaccessible to residents. 87691(f)(2) |
| <input type="checkbox"/> | <input type="checkbox"/> | 10. | Medication labels are not altered. 87575(h) (4) |
| <input type="checkbox"/> | <input type="checkbox"/> | 11. | Medications are stored in their original container and are not transferred between containers. 87575(h)(5) |

MEDICATIONS
(Continued)

MET **NOT MET**

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|--------------------------|--------------------------|-----|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 12. | Each resident's file contains documentation from the resident's physician that the resident can determine and communicate his/her need for <u>prescription</u> and <u>nonprescription</u> PRN medication and the physician has provided written instructions for its use. 87575(b)(e) |
|--------------------------|--------------------------|-----|---|

OR

For nonprescription PRN medication only, each resident's file contains documentation from the resident's physician that the resident cannot determine his/her need but can clearly communicate his/her symptoms and the physician has provided written instructions for its use. 87575(c)(e)

OR

For prescription and nonprescription PRN medication, when the resident is unable to determine his/her own need for the medication and is unable to clearly communicate his/her symptoms, facility staff contact the resident's physician before each dose is given and receive instructions. 87575(d)(e)

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|--------------------------|--------------------------|-------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 13. | Documentation is on file indicating the physician has been contacted when residents refuse medications. 87575(a)(5) |
| <input type="checkbox"/> | <input type="checkbox"/> | 14. * | There are enough medications left in each bottle to order a refill before the current supply runs out. |
| <input type="checkbox"/> | <input type="checkbox"/> | 15. * | Documentation is on file that the resident's physician is aware of all over-the-counter medications the resident is taking. |

PHYSICAL PLANT

MET **NOT MET**

- | | | | |
|--------------------------|--------------------------|----|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Walls and ceilings are clean and in good repair. 87691(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Paint/wallpaper is in good condition. 87691(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Windows and curtains/blinds are in good condition and operate properly. 87691(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Floors and floor coverings are clean and in good repair. 87691(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Doors are in good condition and operate properly. 87691(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Equipment and supplies are not stored in the yard or areas used by residents. 87690(c) |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. | Smoke detectors operate properly and fire extinguishers are properly charged. 87691(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. | Furniture and fixtures are in good repair. 87691(a) |

PHYSICAL PLANT

(Continued)

<u>MET</u>	<u>NOT MET</u>
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|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 9. Disinfectants, cleaning solutions and other hazardous items are inaccessible to residents. Locking is recommended to ensure inaccessibility. 87692(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 10. Firearms, poisons and dangerous weapons are locked. Trigger locks or removing firing pins are acceptable for firearm(s). Ammunition must be stored and locked separately from the firearm(s). 87692(a)(1-3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 11. Handrails are securely fastened. 87577(d)(4) |
| <input type="checkbox"/> | <input type="checkbox"/> | 12. Buildings and grounds are free from hazards. (e.g., broken glass, exposed electrical wiring, protruding nails) 87691(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 13. Passageways, stairways and doors are not blocked or obstructed. 87577(d)(6) |
| <input type="checkbox"/> | <input type="checkbox"/> | 14. Rooms are clean, safe, sanitary and free of odors. 87691(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 15. Room temperature is a minimum of 68 degrees and a maximum of 85 degrees. (In extreme heat, maximum temperature is 30 degrees less than outside.) 87691(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 16. Signal system, if required, operates properly. 87691(i) |
| <input type="checkbox"/> | <input type="checkbox"/> | 17. Bodies of water are inaccessible through fencing, covering or other means to residents with physical or mental disabilities. 87577(e) |
| <input type="checkbox"/> | <input type="checkbox"/> | 18. Facility is free of flies and other insects. 87691(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 19. All window screens are clean and in good repair. 87691(c) |
| <input type="checkbox"/> | <input type="checkbox"/> | 20. Resident bedrooms with security bars on the windows or doors have at least one window/door in the bedroom with an approved safety release device to allow emergency evacuation. H&S Code 1569.6991. |

RESIDENT ROOMS

<u>MET</u>	<u>NOT MET</u>
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|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Sheets, pillowcases, mattress pads, blankets and bedspreads, are clean and in good repair. 87577(a)(3)(C) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Mattresses, boxsprings and pillow(s) are in good condition. Fillings and covers for both the mattress and pillow(s) are flame retardant. 87577(a)(3)(A) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. There is one chair, nightstand, adequate lighting and a chest of drawers for each resident. 87577(a)(3)(B) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. There is adequate closet and drawer space for clothing/personal belongings. A minimum of eight cubic feet of drawer space shall be provided. 87577(a)(3)(E) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. * Clothes in dressers and closets are clean. |

BATHROOMS

MET NOT MET

- | | | | |
|--------------------------|--------------------------|----|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Hot water is 105 - 120 degrees Fahrenheit. 87691(e)(2) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | There are securely fastened grab bars for all tubs, showers and toilets. 87691(e)(4) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | There are non-skid strips or mats in tubs and showers. 87691(e)(5) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Sinks, tubs, toilets, showers, and other related equipment are clean and operate properly and toilet seats are securely fastened. 87691(a)(e)(6) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Residents have clean wash cloths and bath/hand towels. Washcloths and towels are not shared. 87577(a)(3)(C) |

SUPPLIES

MET NOT MET

- | | | | |
|--------------------------|--------------------------|----|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Equipment and supplies for personal hygiene are available for residents in sufficient amounts. 87577(a)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | There is a sufficient supply of linens available to permit changing weekly or more often as needed to ensure use of clean linens at all times by residents. 87577(a)(3)(C) |

FOOD SERVICE

MET NOT MET

- | | | | |
|--------------------------|--------------------------|-----|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Food storage and preparation areas (pantries, cupboards, freezers, stoves, microwaves, refrigerators, counters) are clean. 87576(b)(27)(29) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | There are no pesticides or toxics (ant spray, rodent poison) stored in any food storage or preparation room or with utensils. 87576(b)(24) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Cleaning supplies are kept in areas separate from food supplies. 87576(b)(25) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Contaminated or spoiled food is discarded. 87576(b)(28) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Food supplies are kept covered and inaccessible to pests and contamination. 87576(b)(9)(23)(28) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Frozen foods are properly wrapped. 87576(b)(9)(28) |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. | Trash can has tight fitting cover. 87691(f)(1)(3)(4) |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. | Freezer is 0 degrees Fahrenheit. 87576(b)(21) |
| <input type="checkbox"/> | <input type="checkbox"/> | 9. | Refrigerator is 40 degrees Fahrenheit. 87576(b)(21) |
| <input type="checkbox"/> | <input type="checkbox"/> | 10. | Menu is prepared one week in advance in RCFEs with a capacity of 16 or more. Copies of menus as served are dated and kept on file for at least 30 days. 87576(b)(6) |

FOOD SERVICE

(Continued)

<u>MET</u>	<u>NOT MET</u>
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|--------------------------|--------------------------|-------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 11. | Two-day supply of perishables and seven-day supply of non-perishables are available in the facility. 87576(b)(26) |
| <input type="checkbox"/> | <input type="checkbox"/> | 12. | Snacks and beverages are available in the facility. 87576(b)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 13. | Dishes, glasses and utensils are clean and in good condition (no cracks or chips). 87576(b)(29) |
| <input type="checkbox"/> | <input type="checkbox"/> | 14. | Modified diets are provided as needed. 87576(b)(7) |
| <input type="checkbox"/> | <input type="checkbox"/> | 15. | Powdered milk is not used as a beverage. 87576(b)(11) |
| <input type="checkbox"/> | <input type="checkbox"/> | 16. | All foods are selected, stored and prepared in a safe and healthful manner (e.g., frozen food should be thawed in the refrigerator or under cold running water and not at room temperature). 87576 (b)(9) |
| <input type="checkbox"/> | <input type="checkbox"/> | 17. * | Food supplies are dated and rotated to use old items first. |
| <input type="checkbox"/> | <input type="checkbox"/> | 18. * | Food to prepare items on the menu is available. |

PERSONAL PROPERTY

<u>MET</u>	<u>NOT MET</u>
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|--------------------------|--------------------------|------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Residents' cash records are current. 87227(g)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Surety Bond (LIC 402) is sufficient for amount of cash handled. 87226(a)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Personal Property and Valuables list (LIC 621) is updated with additions and deletions. 87227(g), 87227.1(a)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Theft and Loss Policy is posted and reviewed semi-annually. Resident Theft and Loss Record (LIC 9060) is available in the resident's file. 87227.1(a)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Residents' cash records (LIC 405) balance with cash being safeguarded. 87227(g)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. * | Loans to residents are documented. |

RESIDENT OBSERVATION

<u>MET</u>	<u>NOT MET</u>
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|--------------------------|--------------------------|----|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Staff are familiar with the information in the resident's preadmission appraisals. 87565(a)(c)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Care staff observe each resident to ensure that physical, mental, emotional and social needs are met. 87591 |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Deterioration in resident's condition is reported to the resident's physician and responsible person, if any. 87591 |

RECORDS
(RESIDENTS)

MET **NOT MET**

- | | | | |
|--------------------------|--------------------------|-------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Residents' records are not accessible to unauthorized persons. 87570(c) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Resident records are separate, complete and contain the required records and information for each resident. 87570(a)(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Information in resident's file is updated as needed. 87570(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Resident Appraisals (LIC 603) are completed prior to admission into the facility. 87583(c) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Documentation for allowable health conditions is maintained in file and is current. 87702.1(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Telecommunications Device Notification Form (LIC 9158) is on file for each hearing or speech impaired or otherwise disabled resident. 87568(b) |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. | Documentation for hospice care is available in the file for any resident receiving hospice services. 87716 |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. | Residents are provided with information about Advanced Health Care Directives (PUB 325) and copies of regulation sections 87575.1(b)(c) upon admission. 87575.1(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 9. | A written record of the services to be provided to the resident is prepared prior to or within two weeks of admission and is updated at least annually. 87583.1 |
| <input type="checkbox"/> | <input type="checkbox"/> | 10. * | Copies of any exceptions for residents are on file. |

RECORDS
(STAFF)

MET **NOT MET**

- | | | | |
|--------------------------|--------------------------|----|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Employee files contain all required records and information and are available to the licensing agency for review. 87566(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Items that expire (first aid, driver's license) are updated. 87575(f)(4), 87574 |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Fingerprints (including FBI) are submitted prior to employment, residence or initial presence in the facility for all adults, other than residents, who are 18 years of age or older. 87219(d)(3) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | DOJ clearances or exemptions are received prior to employment, residence or initial presence in the facility for all adults, other than clients, who are 18 years of age or older. 87219(e) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Licensing has been notified within 48 hours by telephone and within 7 days in writing of any arrest, conviction or violation of parole or probation of any person with a clearance or exemption. 87219(l) |

RECORDS
(STAFF)
(Continued)

MET **NOT MET**

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|--------------------------|--------------------------|------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Documentation is on file that all care staff in facilities that advertise or promote special care, programs or environments for residents with dementia have received 6 hours of training in the first four weeks of employment and 8 hours annually thereafter in the care of residents with dementia. H&S Code 1569.626 |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. | Documentation is on file that all care staff in all facilities have received 10 hours of training in the first four weeks of employment and 4 hours annually thereafter in the care of residents. 87566(c) |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. * | Any other continuing education and in-service training are documented. |
| <input type="checkbox"/> | <input type="checkbox"/> | 9. * | Exceptions/exemptions are maintained in file. |

ADMINISTRATION

MET **NOT MET**

- | | | | |
|--------------------------|--------------------------|------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | License is posted in a prominent place accessible to public view. 87115 |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | The facility has a disaster and mass casualty plan of action (Emergency Disaster Plan Form LIC 610). 87223(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. | Emergency exiting plans and telephone numbers are posted. 87223(c) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. | Administrator has a current and valid administrator's certificate. 87564.2(a)(e) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. | Roster of Facility Residents (LIC 9020) is available. 87571 |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. | Substantiated/inconclusive complaints and all licensing reports with citations for the past twelve months are available at the facility for public review. H&S Code 1569.38 |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. * | Waivers are maintained on file. |

INCIDENT REPORTING

MET **NOT MET**

- | | | | |
|--------------------------|--------------------------|------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. | Unusual Incidents/Death Reports (LIC 624/624a) are sent to Licensing within seven (7) days. 87561(a)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. | Incidents are reported to the resident's responsible person. 87561(a)(1) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. * | All administrative and care staff are trained in the requirements of incident reporting. |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. * | Administrator has reviewed incident reports and taken any corrective action necessary. |

ACTIVITIES

<u>MET</u>	<u>NOT MET</u>
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|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Current activity calendar is posted in facilities with a capacity of 7 or more. 87579(d) |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Sufficient equipment and supplies are available to meet the requirements of the activity program. 87579(l) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. Activities available include: socialization, activities which maintain daily living skills, leisure time activities, physical activities and educational activities. 87579(a) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Attendance at religious activities is available to interested residents. 87579(c)(1), 87572(a)(5) |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. Resident council meetings are made available upon request of residents. 87592 |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. * Activities are provided as scheduled on activity calendar. |

MISCELLANEOUS

<u>MET</u>	<u>NOT MET</u>
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|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Vehicles used to transport residents are maintained in safe operating condition. 87574 |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Non-fingerprint cleared persons (friends, family, volunteers, and neighbors) are not used as staff and do not provide direct client care and supervision. 87219(d)(2) |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. The facility is equipped with first aid supplies (sterile first aid dressings, bandages, thermometer, scissors, tweezers) and a current first aid manual. 87575(a)(9) |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Basic laundry service (washing, drying and ironing of personal clothing) is provided. 87577(a)(3)(F) |